

Docket No.: 42390P7090

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

THOMAS L. STACHURA, ET AL.

Application No.: 09/411,407

Filed: September 30, 1999

METHOD AND APPARATUS FOR For:

PERFORMING NETWORK-BASED CONTROL FUNCTIONS ON AN

ALERT-ENABLED MANAGED CLIENT

Art Group: 2141

Examiner: Adnan M Mirza

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Technology Center 2100

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

It is hereby stated that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual associated with the filing or prosecution of the subject application more than three months prior to the filing of the Information Disclosure Statement.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: May 12, 2003

Philip A. Pedigo, Reg. No. 52,107

12400 Wilshire Blvd., 7th Floor Los Angeles, California 90025 (503) 684-6200

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Box RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Derok S. Watson

05-12-03

Date

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

NFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

1

Sheet 1 of

Complete if Known						
Application Number 09/411,407						
Filing Date	September 30, 1999					
First Named Inventor	Thomas L. Stachura					
Art Unit	2141					
Examiner Name	Adnan M Mirza					
Attorney Docket Number	42390P7090					

			U.S. PATE	NT DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Number - Kind Code² (if known)	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	US-6243746 B1	06-05-2001	Sondur et al.	
	2	US-6253243 B1	06-26-2001	Spencer	
	3	US-6308206 B1	10-23-2001	Singh	·
	4	US-6363421 B1	03-26-2002	Barker et al.	
	5	US-6490620 B1	12-03-2002	Ditmer et al.	
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	FOREIGN PATENT DOCUMENTS									
Examiner	Cite	Foreign Patent Document			Pages, Columns, Lines,					
	No.'	Country Code ¹ - Number ⁴ - Kind Code ⁸ f known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear					

Examiner	Date	
Signature	Considered	

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^{*}Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

^{&#}x27;Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁴Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁴Applicant is to place a check mark here if English language Translation is attached.



Application No.

PTO/SB/21 (05-03)
Approved for use through 04/30/2003. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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09/411,407

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TRANSMITTAL FORM (to be used for all correspondence after initial filing			Filing Date	Septen	nber 30, 1999)	اردح	En
		g) First Named Inventor	Thoma	Thomas L. Stachura RECE				
			Group Art Unit	2141		YAM	20	2003
			Examiner Name	Adnan	M Mirza			
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		ENCLOSURES (c	heck all that apply)					l
		ENCLOSORES (C	neck an that apply)		fter Allowance	Communi	cation	
Fee Transmittal	Form	Drawin	ng(s)		Group	Communic		
Fee Attac	ched	Licens	ing-related Papers		ppeal Commur f Appeals and I	nication to Interferenc	Board es	
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			ICANT, ATTORNEY, OR	AGENT				
Firm	Philip	A. Pedigo, Reg. No	. 52,107					
<i>or</i> Individual name	BLA	KELY, SOKOLOF	FF, TAYLOR & ZAF	MAN L	LP			
Signature	Plai	0. Pi			4)			
Date	May	12, 2003	,					
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Signature	1	2 S. c	Sie	Date	May 1	12, 2003)

PTO/SB/17 (01-03)

Approved for use through 04/30/2003. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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TEE TRANSMITT	Λ Ι	С	omplete if Known		
ERNFEE I KANSIVIII I	4 L	Application Number	09/411,407		
for FY 2003		Filing Date	September 30, 1999		
Effective 01/01/2003. Patent fees are subject to annual	revision.	First Named Inventor	Thomas L. Stachura		
Applicant claims small entity status. See 37	CFR 1.27.	Examiner Name	Adnan M Mirza		
		Group/Art Unit	2141		
TOTAL AMOUNT OF PAYMENT (\$)		Attorney Docket No.	42390P7090		

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METHOD OF PAYMENT (check one)				FE	E CALCULATION (continued) ECEIVED
☐ Check ☐ Credit card ☐ Money ☐ Other ☒ None	3. A	DDITIO	NAL	FEES	S MAY 2 0 ZOOS
Deposit Account	Large	Entity	Smal	l Entity	Fee Description Technology Center Fee Percentage - late filing fee or oath
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Deposit Account 02-2666					ree Description (EOW)
Number	1051 1052	130 50	2051 2052	65 25	Surcharge - late filing fee or oath Surcharge - late provisional filing fee or
Deposit Account Blakely, Sokoloff, Taylor & Zafman LLP	1002	00	2002		cover sheet.
Name Blakely, Sokololi, Taylol & Zalillali EEI	2053	130	2053	130	Non-English specification
The Commissioner is authorized to(check all that apply)	1812	2,520		2,520	For filing a request for ex parte reexamination
☐ Charge fee(s) indicated below ☐ Credit any overpayments	1804	920 *	1804	920 '	Requesting publication of SIR prior to Examiner action
Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20	1805	1,840*	1805	1.840 '	* Requesting publication of SIR after
Charge fee(s) indicated below, except for the filing fee					Examiner action
to the above-identified deposit account	1251	110	2251	55	Extension for reply within first month
FEE CALCULATION	1252	410	2252	205	Extension for reply within second month
1. BASIC FILING FEE	1253	930	2253	465	Extension for reply within third month
Large Entity Small Entity	1254	1,450	2254	725	Extension for reply within fourth month
Fee Fee Fee Fee Fee Description Fee Paid Code (\$)	1255	1,970	2255	985	Extension for reply within fifth month
	1404	320	2401	160	Notice of Appeal
1001 750 2001 375 Utility filing fee 1002 330 2002 165 Design filing fee	1402	320	2402	160	Filing a brief in support of an appeal
	1403	280	2403	140	Request for oral hearing
1003 520 2003 260 Plant filing fee 1004 750 2004 375 Reissue filing fee	1451	1,510	2451	1,510	Petition to institute a public use proceeding
1005 160 2005 80 Provisional filing fee	1452	110	2452	55	Petition to revive - unavoidable
	1453	1,300	2453	650	Petition to revive - unintentional
SUBTOTAL (1) (\$)	1501	1,300	2501	650	Utility issue fee (or reissue)
2. EXTRA CLAIM FEES _{Extra} Fee from	1502	470	2502	235	Design issue fee
Claims below Fee Paid	1503	630	2503	315	Plant issue fee
Total Claims . 20° = X	1460	130	2460	130	Petitions to the Commissioner
Independent 3 = X = =	1807	50	1807	50	Processing fee under 37 CFR 1.17(q)
Multiple Dependent =	1806	180	1806	180	Submission of Information Disclosure Stmt
Large Entity Small Entity	8021	40	8021	40	Recording each patent assignment per property (times number of properties)
Fee Fee Fee Fee <u>Fee Description</u> Code (\$) Code (\$)		750		375	
1202 18 2202 9 Claims in excess of 20	1809	/50	1809	313	(37 CFR § 1.129(a))
1201 84 2201 42 Independent claims in excess of 3	1810	750	2810	375	For each additional invention to be
1203 280 2203 140 Multiple Dependent claim, if not paid					examined (37 CFR § 1.129(b))
1204 84 2204 42 **Reissue independent claims over original	1801	750	2801	375	Request for Continued Examination (RCE)
patent	1802	900	1802	900	Request for expedited examination of a design application
1205 18 2205 9 **Reissue claims in excess of 20 and over original patent	Other fee	e (specify)	-		
SUBTOTAL (2) (\$)					
	* Reduce	d by Basic	Filing Fe	ee Paid	SUBTOTAL (3) (\$)
**or number previously paid, if greater, For Reissues, see below	<u></u>				
SUBMITTED BY					Complete (if applicable)

SUBMITTED BY Complete (if applicable)								
Name (Print/Type)	Philip A. Pedigo	Registration No. (Attorney/Agent)	52,107	Telephone	(503) 684-6200			
Signature	Phi C. Pa:			Date	05/12/03			

This collection of information is required by 37 CFR 1.17 and 127. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application to the USPTO. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, US Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450